

# **Alabama Electronic Security Board of Licensure**

## **Functional Analysis & Records Disposition Authority**

**Presented to the  
State Records Commission  
July 22, 2003**

## Table of Contents

|   |                            |
|---|----------------------------|
| Functional and Organizational Analysis of the Alabama Electronic Security Board of Licensure                      |                            |
| Sources of Information . . . . .  | <a href="#"><u>1-1</u></a> |
| Historical Context. . . . .   | <a href="#"><u>1-1</u></a> |
| Agency Organization . . . . .   | <a href="#"><u>1-1</u></a> |
| Agency Function and Subfunctions . . . . .  | <a href="#"><u>1-1</u></a> |
| Promulgating Rules and Regulations . . . . .  | <a href="#"><u>1-2</u></a> |
| Licensing . . . . .   | <a href="#"><u>1-2</u></a> |
| Enforcing . . . . .   | <a href="#"><u>1-2</u></a> |
| Administering Internal Operations . . . . .   | <a href="#"><u>1-2</u></a> |
| ____ Organizational Chart . . . . .   | <a href="#"><u>1-3</u></a> |
| <br>Analysis of Record Keeping System and Records Appraisal of the Alabama Electronic Security Board of Licensure |                            |
| Agency Record Keeping System . . . . .  | <a href="#"><u>2-1</u></a> |
| Records Appraisal . . . . .   | <a href="#"><u>2-1</u></a> |
| Temporary Records . . . . .   | <a href="#"><u>2-1</u></a> |
| Permanent Records . . . . .   | <a href="#"><u>2-2</u></a> |
| Permanent Records . . . . .   | <a href="#"><u>2-3</u></a> |
| <br>Alabama Electronic Security Board of Licensure Records Disposition Authority                                  |                            |
| Explanation of Records Requirements . . . . .   | <a href="#"><u>3-1</u></a> |
| Records Disposition Requirements . . . . .  | <a href="#"><u>3-2</u></a> |
| Promulgating Rules and Regulations . . . . .  | <a href="#"><u>3-2</u></a> |
| Licensing . . . . .   | <a href="#"><u>3-2</u></a> |
| Enforcing . . . . .   | <a href="#"><u>3-3</u></a> |
| Administering Internal Operations . . . . .   | <a href="#"><u>3-3</u></a> |
| Requirement and Recommendations for Implementing the Records Disposition Authority . . . . .                      | <a href="#"><u>3-4</u></a> |

# **Functional and Organizational Analysis of the Alabama Electronic Security Board of Licensure**

## **Sources of Information**

Representatives of the Alabama Electronic Security Board of Licensure  
Code of Alabama 1975, Section 34-1A-1 through 34-1A-11  
Code of Alabama 1975, Sections 41-20-1 through 41-20-6 (Sunset Law)  
Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)  
Alabama Administrative Code, Sections 304-X-1-.01 through 305-X-1-.05  
Alabama Government Manual (2002)  
Alabama Electronic Security Board of Licensure Audit Reports (1997-2000)  
Alabama Electronic Security Board of Licensure website

## **Historical Context**

The Alabama Electronic Security Board of Licensure was created in 1997 by an act of the legislature. There was no state agency regulating the alarm system profession prior to 1997.

## **Agency Organization**

The board is composed of five members who are appointed by the governor. The members of the board include: one member from the alarm system industry; one member from the Alabama Consulting Engineers Association; one member from the Alabama Sheriff's Association; one member who is an alarm systems manufacturer; and one member who represents the consumers of the state. Each member serves a term of four years. Any vacancy that occurs is filled by the governor. Meetings of the board are held quarterly. The board contracts with Crawford & Crawford, Inc. to handle its business. The board appoints an executive director. An organizational chart is attached.

## **Agency Function and Subfunctions**

The mandated function of the Alabama Electronic Security Board of Licensure is to license any individual, company, or corporation that provides sales, service, installation, or monitoring of burglar alarm systems or closed circuit television systems. The board also hears complaints and administers disciplinary action against licensees. It is one of the agencies responsible for performing the Regulatory function of Alabama government. In performance of its mandated function, the Alabama Electronic Security Board of Licensure may engage in the following subfunctions.

- **Promulgating Rules and Regulations.** The agency publishes its rules and regulations in compliance with the Administrative Procedures Act (Code of Alabama 1975, Sections 41-22-1 through 41-22-27).
- **Licensing.** The agency licenses security services contractors, alarm systems companies, central station companies, qualifying agents, installers/technicians, and salespersons. The board also issues licenses to those classified as student helpers. All applicants for licensure must submit an application, required supporting documentation, and a fee. The application must be notarized or witnessed by two individuals. All applicants must provide documentation of training in competency standards or pass a qualifying examination created by the National Burglar and Fire Alarm Association and administered by the board. Licenses are renewed annually. If a licensee does not renew in thirty days, then s/he has to apply as a new applicant.
- **Enforcing.** The board may deny, revoke, or suspend a license. The board institutes hearings to decide which action to impose. The board may impose a penalty fee if the Code of Ethics is violated. The licensee may seek an appeal through the board if he/she is dissatisfied with the board's decision.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

**Managing the Agency:** Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

# **Analysis of Record Keeping System and Records Appraisal of the Alabama Electronic Security Board of Licensure**

## **Agency Record Keeping System**

The Alabama Electronic Security Board of Licensure currently operates a hybrid record keeping system composed of paper and electronic records

## **Records Appraisal**

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Electronic Security Board of Licensure: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary Records should be held for what is considered to be their active life and disposed of once all their fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Alabama Electronic Security Board of Licensure are discussed below:

- **Licensure Files.** These records are created when a company or individual submits an application to the board. A new applicant must submit an Alabama Bureau of Investigation (ABI) Criminal History Information Report, and training evidence or a copy of the applicant's examination results. Companies must submit proof of insurance. The licenses are renewed annually, so these files need to be maintained two years after the license has lapsed.
- **Examination Files.** The examination is created by the National Burglar and Fire Alarm Association and these files are the individual applicants' actual examinations. All individual applicants for licenses must successfully pass the examination. The examination is administered by the board twice a year. The board maintains these files for five years after the records were created.
- **Investigation Files.** These records are created when the board begins an investigation. This can be as simple as investigating whether an employee is registered, or if the facility is under surveillance for participating in illegal activities. The investigation files include reports created by board investigators. The retention is five years after the investigation is completed so that all legal obligations are met.
- **Consumer Complaint Files.** If a customer has a problem with the electronic security system installed by a company, that consumer must send a written complaint to the company and submit a copy to the board. Also included in the files are correspondence

from the board to the installment company regarding the complaint. The board maintains these records to make sure that the complaint has been settled to the satisfaction of both parties involved. The retention is three years after complaint actions end.

**II. Permanent Records.** The Government Records Division recommends the following records as permanent.

### **Promulgating Rules and Regulations**

- **Meeting Minutes and Orders of the Board.** The meeting minutes contain information about the applicants the board has issued licenses to and any new rules and regulations that the board has decided to put into place. This series contains documentation not found elsewhere. (RDA pg.3-2) **(Bibliographic Title: Meeting Minutes)**

### **Licensing**

- **Rosters of Licensed Companies/Individuals.** This series is maintained on the board's computer system. It contains a list of licensees, license numbers, the company the licensee is employed by, and the contact information for the licensee. The board uses the roster to track employment history of licenses. Also included is a listing of registered companies. The roster provides key documentation of security companies and individual licensees; thus, a copy should be printed out annually for permanent retention. (RDA page 3-2)**(Bibliographic Title: Roster of Licensees)**

### **Enforcing**

- Permanent records providing summary documentation of this subfunction are found in the board's meeting minutes as described in the Promulgating Rules and Regulations subfunction

### **Administering Internal Operations**

- **Website.** The board has a website at: [www.aesbl.com](http://www.aesbl.com). Information on the website includes a list of board members, rules and regulations, consumer information, complaint guidelines, contact information, a listing of licensed companies, and meeting schedules. The retention is preserve a complete copy of the website annually or as often as significant changes are made. (RDA pg. 3-2) **(Bibliographic Title: State Publication)**

## **Permanent Records List**

## **Alabama Electronic Security Board of Licensure**

### **Promulgating Rules and Regulations**

1. Meeting Minutes and Orders of the Board

### **Licensing**

1. Rosters of Licensed Companies/Individuals

### **Administering Internal Operations**

1. Website

## **Alabama Electronic Security Board of Licensure Records Disposition Authority**

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Electronic Security Board of Licensure. The RDA lists records created and maintained by the Alabama Electronic Security Board of Licensure in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

### **Explanation of Records Requirements**

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Electronic Security Board of Licensure. Copies of superseded schedules are no longer valid and may not be used for records disposition.
- This RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and record-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received

that required not action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Alabama Electronic Security Board of Licensure and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **■ Promulgating Rules and Regulations**

MEETING MINUTES AND ORDERS OF THE BOARD  
Disposition: PERMANENT RECORD.

### **■ Licensing**

ROSTERS OF LICENSED COMPANIES/INDIVIDUALS  
Disposition: PERMANENT RECORD.

Licensure Files

Disposition: Temporary Record. Retain 2 years after the license has lapsed.

Renewal Files

Disposition: Temporary Record. Retain 5 years after the records were created.

Examination Files

Disposition: Temporary Record. Retain 5 years after the records were created.

### **■ Enforcing**

Investigation Files

Disposition: Temporary Records. Retain 5 years after the investigation is completed.

Consumer Complaint Files

Disposition: Temporary Record. Retain 3 years after the complaint action ends.

■ **Administering Internal Operations**

**Managing the Agency:**

Board Appointment Letters

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the implementation of the agency's RDA (copies of transmittal forms to Archives or State Records Center, destruction notices or other evidence of obsolete records destroyed, annual reports to State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA was superseded.

System Documentation (hardware/software manuals and diskettes, warranties, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been migrated to a new system.

WEBSITE

Disposition: PERMANENT RECORD. PRESERVE A COMPLETE COPY OF WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE.

**Managing Finances:**

Records documenting the preparation of a budget request package and reporting of the status of

funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization for supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of contract. (Code of Alabama, Section 6-2-34).

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

## **Requirement and Recommendations for Implementing the Records Disposition Authority**

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Electronic Security Board of Licensure (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in July of each year. In

addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the agency's custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency--wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on July 22, 2003 .

---

Edwin C. Bridges, Chairman  
State Records Commission

---

Date

Receipt acknowledged:

---

Fred Crawford, Executive Director  
Alabama Electronic Security Board of Licensure

---

Date